August 2024 Update

These are the same questions that I tested with in July. However, I’ve now switched to the OpenAI API, and have been working on the embedding length, increasing it for better accuracy, while balancing performance.

## What is PS file?

The PS file, or Position Reconciliation file, is used to reconcile account positions, including issued and unissued share balances, at month-end. It is produced either by standard month-end jobs or by ad-hoc requests and is formatted as XML.

This file is subjected to schema validation to ensure its correctness before being made available for further processing. If it fails validation, the file is renamed with a prefix ‘FS\_’, indicating a schema failure.

The purpose of the PS file is to ensure that the recorded account positions match the records held by relevant parties, typically at the end of a financial period.

## Which screens have the Override Trade Date function?

The "Override Trade Date" function can be accessed in the system through the following screens:

1. **Trade Date/Override Section**: You can find the "Override Trade Date" function when you are attempting to override a trade date that has already been changed. You can use the "F21" key to access this function, provided you have the necessary authorization.
2. **Business Day Selection (SYBUSSEL)**: The "Override Trade Date" function is indirectly linked to the Business Day Selection screen as it determines whether a populated trade date is a valid trading day.

Please note that access to these screens and the ability to use the "Override Trade Date" function is restricted based on user authorization, and the function won’t be available to unauthorized users.

## How to set READ Only access to a screen?

To set **READ Only** access to a screen in Unitrax, you need to ensure that the user's access is restricted to only viewing the screen without making any changes. Here’s how this is generally achieved:

1. **Access Level Setup**:
   * Set the access level to 1 (Allowed) for read-only purposes, which allows the user to view the screen.
   * Ensure that editing or any modification-related options are not allowed for this screen by not assigning any action permissions apart from viewing.
2. **Screen Assignment (SYUSRSCR)**:
   * As a security administrator, go to the Screen Assignment screen (SYUSRSCR).
   * Assign the 1 (Allowed) access level to the specific user class or environment for the chosen screen.
3. **Verification**:
   * Make sure that the "Access Level" setup in the system reflects 1 (Allowed) only, and does not include any levels that permit writing, modifying, or deleting data.
4. **Testing**:
   * After setting the READ Only access, test the setup with a sample user account to ensure that they can only view the data and are restricted from performing any edits.

This method essentially restricts the user to only viewing the screen without providing any permissions to modify, delete, or save changes, thus setting a **READ Only** access.

## How to add a Job to Activity Table?

To add a new job to the Activity (RFACTCOD) table in Unitrax, follow these steps:

1. **Access the Activity Table Screen**:
   * Navigate to the **Activities (RFACTCOD)** table screen in your environment.
2. **Enter the New Job Details**:
   * **Code**: Enter a unique code for the job. This code identifies the job in the activity table.
   * **Description**: Provide a brief description of the job. This should reflect the nature of the job.
   * **Submit Sequence Number**: Specify the sequence number that indicates the run order of the job relative to other jobs.
   * **Submit Job Name**: Enter the specific job name defined by Unitrax. In your case, for the Model Level Threshold Checking job, the name could be something like JOBAAMLVCK.
   * **Frequency Code**: Set the frequency for how often the job should run. Use the code DA for daily execution.
   * **Status**: Set the status to A (Active) to ensure the job is active and will run according to the batch job cycle.
3. **Save the Record**:
   * After entering all the required details, save the record to ensure the job is added to the Activity table.
4. **Test the New Activity**:
   * After adding the job, it’s important to monitor and ensure that the job runs as expected during the scheduled cycles. Test it to verify that all entries and configurations are correct.

**Example of Adding a Job:**

* **Code**: MLTCJB
* **Description**: Model Level Threshold Checking Job
* **Submit Sequence Number**: 500 *(Example sequence number, adjust as per the actual job order)*
* **Submit Job Name**: JOBAAMLVCK
* **Frequency Code**: DA
* **Status**: A

Repeat these steps if you need to add any additional jobs. Ensure that all entries conform to your operational requirements and system setup.

## How many Frequency Codes allowed in Unitrax?

There is no specific limit mentioned for the number of Frequency Codes allowed in Unitrax. You can define as many Frequency Codes as needed within the system to accommodate the various events and processes that require different frequencies.

## What is PAC?

A **PAC** (Pre-Authorized Chequing) is a plan that allows investors to automatically withdraw a specified amount of money from their bank accounts on a regular basis to purchase investments. The PAC plan helps investors steadily increase their investments over time with minimal personal involvement, as the transactions are automated.

**Key Components of PAC:**

1. **Purchase Instructions**:
   * **Active Period**: Specifies the duration for which the PAC plan is active.
   * **Frequency of Withdrawals**: Determines how often the money will be withdrawn (e.g., monthly, weekly).
   * **Amount**: The total amount to be invested during each withdrawal.
   * **Bank Account Details**: Information about the bank account from which the money will be withdrawn.
2. **Investment Instructions**:
   * Defines the specific funds or investments that will be purchased with the withdrawn amount.

**Additional Information:**

* There is no limit on the number of PACs you can set up, and multiple PACs can be created to meet various investment goals.
* PACs are flexible: you can change the withdrawal amount, bank account, or investment instructions as needed. You can also postpone, restart, or close a PAC based on your circumstances.

A PAC is an effective way for investors to build wealth over time by automating their investment contributions.

## How do I override a Tax Rate to a systematic plan setup?

To override a tax rate in a systematic plan setup in Unitrax, you can follow these steps:

**1. Accessing the Relevant Screen**

* Depending on the plan you're working with, you will either use the **Automatic Withdrawal (AWD) Plan** screens or the **Dollar Cost Averaging (DCA) Plan** screens.

**2. Entering the Additional Tax Screen**

* Go to the **AWD Additional Tax (ACCADTX)** screen if working under an AWD plan or the **DCA Additional Tax Entry (ACIADTX)** screen if dealing with a DCA plan.
* You can usually reach these screens by pressing F2 (Additional Tax) from within the **Account AWD (ACCAWD)** screen for AWD or **Account/Inv. DCA (ACIDCA)** screen for DCA.

**3. Override the Tax Rate**

* In the **ACCADTX** or **ACIADTX** screen:
  + **Federal Tax**: Modify the percentage or amount as required.
  + **Provincial Tax**: Modify the percentage or amount as required.
* Make sure the **Override Sys. Plan** field is set to “Y” if you want the override to apply to systematic plans specifically.

**4. Applying and Saving Changes**

* Save the changes you’ve made. The overridden tax rate should now apply to the specified withdrawal or investment in the systematic plan.

**5. Authorization Requirements**

* Ensure that:
  + You have the **LOWTAX** authority code assigned to your user ID in the **Authority Staff (SYAUTSTA)** screen.
  + The **Add/Replace Code** in the **TRNCDSC** screen for the transaction is set to R.

These steps override the default tax rates for the selected systematic plan, enabling you to apply different rates as dictated by specific circumstances.

## Which job generates NS files?

The **NS files** are generated by the following jobs in Unitrax:

1. **Account Recon. Dealer (JOBARECDLR)** - This job is used to generate NS files for dealers.
2. **Account Recon. Nominee (JOBARECNOM)** - This job is used to generate NS files for nominee accounts.

These jobs create the NS extract files for Fundserv distributors (Dealers and Intermediaries). The generated NS files include vital information such as account demographic reconciliation and are crucial for ensuring that the records within Unitrax are synchronized with external records.

## How to enter daily prices?

To enter **daily prices** in Unitrax, follow these steps:

**Step 1: Access the Pricing/Exchange Rates Panel**

1. Navigate to the **Daily Activities** menu.
2. Go to **Pricing**.
3. Expand the **Entry/Maintenance** section under the **Investment Pricing** menu.
4. Click on **Pricing/Exchange Rates**.

**Step 2: Authentication**

1. **Pricing Authentication (PRCAUTH) Screen:**
   * You'll be prompted to enter the **pricing password**.
   * Enter the required password.
   * Specify the **trade date** for which you want to set prices and rates. This is usually the current date.

**Step 3: Entering Pricing Data**

1. After authentication, expand the **Entry** section under the **Pricing/Exchange Rates** menu panel.
2. Click on **Pricing/Exchange Rate Entry** to enter the prices.

**Step 4: Input Necessary Values**

1. **Foreign Exchange Rates** (if applicable):
   * Enter the exchange rates if your investment involves multiple currencies.
2. **Investment Unit Prices**:
   * Enter the daily unit prices for each investment listed.
3. **Capital Gain and Income Distribution Rates**:
   * If applicable, also input the capital gains and income distribution rates.

**Step 5: Verify and Approve Prices**

1. **Soft Warnings**:
   * If there are any warnings stating that ‘Prices have not been double-keyed,’ you will need to review the prices.
   * If the prices are to be submitted without the double-key flag set to ‘Y’, simply press Enter to bypass the warning. However, it's advisable to ensure prices have been verified and double-keyed to avoid discrepancies.
2. **Approval of Prices Flag**:
   * Once all conditions are met and prices are verified, the ‘Approval of Prices’ flag will be set to ‘Y’.
   * This flag can be changed to ‘N’ if necessary, but if the daily run is submitted with the flag set to ‘Y’, the flag cannot be modified until the daily processing is completed.

**Step 6: Submit the Daily Run**

1. After verifying and confirming the prices, you can proceed to submit the daily run.

**Step 7: Reset to the Previous Business Day**

1. Post submission, the trade date resets itself to the previous business day, and no further changes can be made until the daily process is completed.

That’s it! By following these steps, you can successfully enter and manage daily prices in Unitrax.

## Is AMS activated by a Module?

Yes, the **AMS (Automatic Model Selection)** functionality is activated as part of the Asset Allocation Module in Unitrax. This module supports various transaction types, including purchases, switches, redemptions, and others specific to AMS accounts.

Once an account is marked with the AMS attribute, specific functionalities and processes, such as rebalancing and foreign content handling, are automatically managed according to the AMS rules set within the system. The activation of AMS typically involves adding the AMS attribute code to the account, which can trigger additional functionalities and processing requirements managed by the Asset Allocation Module.

## How do I enter a BUY transaction?

To enter a **BUY** transaction in Unitrax, follow these steps:

**Step 1: Access the Direct Buys (TRNPUR) Screen**

1. **Navigate to the Transaction Selector**:
   * In your main menu or specific transaction entry menu, choose the **Direct** and **Buy** options.
   * Click **Continue** to proceed.
   * The system will take you to the **Direct Buys (TRNPUR)** screen, provided you have the necessary access permissions.

**Step 2: Enter the Required Buy Transaction Details**

1. **Account Details**:
   * **Account Number**: Enter the account number for which you're entering the BUY transaction.
2. **Investment Details**:
   * **Fund Number or Investment Name**: Input the investment name or fund number that you wish to buy.
   * **Amount or Units**:
     + Specify either the total dollar amount (e.g., $1,000) or the number of units to purchase (e.g., 100 units).
3. **Dealer/Rep Details**:
   * If applicable, include the dealer or representative's code.
4. **Contribution Type**:
   * Choose the appropriate contribution type (e.g., **Regular Deposit**, **Lump Sum**).
5. **Commission Rate**:
   * Enter the commission rate, typically the **Front-End** percentage if applicable.

**Step 3: Verify Details and Submit the Transaction**

1. **Review the Input**:
   * Double-check all the information you've entered to ensure accuracy.
2. **Enter the Transaction**:
   * Press **Enter** to submit the transaction.
3. **Multiple Orders**:
   * If you're entering multiple buy orders, you can use **F17 (Last Order)** to copy the batch ID, dealer/rep, and account number from the previous order to save time.

**Step 4: Modify or Delete (If Necessary)**

1. **Modify**:
   * If you need to make changes, enter **M** on the command line and change the desired fields.
2. **Delete**:
   * To delete the transaction, enter **DEL** on the command line.

**Step 5: Finalize Daily Processing**

* Once entered, the transaction will be processed during the next daily job cycle. If the order is no longer displayed onscreen, you can retrieve it via the **Work with Direct Orders** section in Unitrax.

By following these steps, you can successfully enter a BUY transaction in Unitrax.